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UTILITY PATENT APPLICATION AND FEE TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

INCOMPLETE

Attorney Docket No. UNIV0130

Date: November 26, 2001

Inventor(s): **Mark E. Fauver, Eric J. Seibel, Chris Brown, Per G. Reinhall, and Quinn Y.J. Smithwick**
Title: **MICRO-FABRICATED OPTICAL WAVEGUIDE FOR USE IN SCANNING FIBER DISPLAYS AND SCANNED FIBER IMAGE ACQUISITION**

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Residence Address of Inventor: **Kirkland, WA**

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal (BELOW)
2. ☒ Applicant(s) claims small entity status. See 37 C.F.R. § 1.27.
3. ☒ Specification [Total Pages **40**]
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **11** (Figs 1-20B, one full set = 11 sheets)] [Formal Drawings- Figs 4-9 color drawings (3 sheets, in triplicate) 8 sheets black/white, 17 sheets total]
5. ☐ Oath or Declaration [Total Pages **1**]
6. ☐ a. Newly executed (original or copy)
7. ☐ b. Copy from a prior application (37 C.F.R. § 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Item 5 below]
8. ☐ i. DELETION OF INVENTOR(S) Signed statement attaching deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.63(b).
9. ☐ Application Data Sheet. See 37 C.F.R. § 1.76
10. ☐ CD-ROM or CD-R in duplicated, large table or Computer Program (Appendix)
11. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
12. ☐ a. Computer Readable Form (CRF)
13. ☐ b. Specification Sequence Listing on: ☐ i. CD-ROM or CD-R (2 copies); or ☐ i. Paper
14. ☐ c. Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) _____ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 _____ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be itemized specifically)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ NONPUBLICATION REQUEST: Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other:
18. ☐ If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:
Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No: **09/850,594** filed **5/7/2001**
Prior application information: Examiner: _____ Group / Art Unit: _____

This application is based on a prior copending provisional application Serial No. 60/253,445, filed on November 27, 2000, the benefit of the filing date of which is hereby claimed under 35 U.S.C. § 119(e), and is a continuation-in-part of U.S. patent application Serial No. 09/850,594, filed May 7, 2001, the benefit of the filing date of which is hereby claimed under 35 U.S.C. § 120.

For CONTINUATION OR DIVISIONAL APPLICATIONS only: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

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METHOD OF PAYMENT (check one)		FEE TRANSMITTAL	
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number: _____ Deposit Account Name: _____ <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 & 1.17 <input type="checkbox"/> Payment the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance		3. ADDITIONAL FEES (Continued) Fee Description Requesting publication of SIR after Examiner action Extension for reply within first month Extension for reply within second month Extension for reply within third month Extension for reply within fourth month Extension for reply within fifth month Notice of Appeal Filing a brief in support of an appeal Request for oral hearing Petition to institute a public use proceeding Petition to revive - unavoidable Petition to revive - unintentional Utility issue fee (or reissue) Design issue fee Plant issue fee Petitions to the Commissioner Petitions related to provisional applications Submission of Information Disclosure Statement Recording each patent assignment per property (times number of properties) Submission after final rejection (37 C.F.R. 1.129(a)) Add'l invention to be examined (37 C.F.R. 1.129(b)) Other fee (specify)	
2. Payment Enclosed: <input type="checkbox"/> Check (No. _____) <input type="checkbox"/> Money Order <input type="checkbox"/> Other Payment NOT Enclosed		Fee Paid	
Payment NOT Enclosed			
FEE CALCULATION			
1. BASIC FILING FEE			
Fee Description	Fee Paid		
Utility filing fee	\$ 370		
Design filing fee			
Plant filing fee			
Reissue filing fee			
Provisional filing fee			
SUBTOTAL (1)	\$ 370		
2. EXTRA CLAIM FEES			
Extra Claims	Fee from below	Fee Paid	
Total Claims 45 - 20 = 25 x \$9	=	\$ 225	
Independent Claims 7 - 3 = 4 x \$42	=	\$ 168	
Multiple Dependent 10 - x \$140	=	\$ -0-	
SUBTOTAL (2)	\$ 393		
FEES (SUBTOTALS (1) & (2)) \$ 763			
3. ADDITIONAL FEES			
Surcharge - late filing fee or oath			
Surcharge - late provisional filing fee or cover sheet			
Non-English specification			
Request for reexamination			
Requesting publication of SIR after Examiner action			
TOTAL FEES ENCLOSED: \$ -0-		SUBTOTAL (3) \$	

Typed/Printed Name Ronald M. Anderson

Signature Ron Anderson

Registration Number 28,829

Date November 26, 2001

EXPRESS MAIL CERTIFICATE

Express Mail Label No. EL744182972US

Date of Deposit: November 26, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231- PO Box 2227,

Ron Anderson
(Name of person mailing paper/fee)

Ron Anderson
(Signature of person mailing paper or fee)